

U.S. DEPARTMENT OF HOMELAND SECURITY

OFFICE FOR DOMESTIC PREPAREDNESS

Homeland Security Exercise and Evaluation Program

Volume IV: Sample Exercise Documents and Formats

Table of Contents

I) Introduction

II) Program Management

- a) Exercise Plan Workshop (EPW)
 - i) Exercise Plan
- b) Policies
- c) Request For Proposal (RFP)
- d) Exercise Schedule Report

III) Planning Materials

- a) Exercise Planning Team
- b) Discussion-Based Exercises
 - i) Foundation
 - (1) Master Tasks List
 - (2) Project Management Timeline
 - (3) Planning Conference Materials
 - (a) Initial Planning Conference
 - (b) Final Planning Conference
 - (4) Exercise Planning Team
 - ii) Design And Development
 - (1) Scope
 - (a) Participant List
 - (b) Objectives
 - (2) Scenario
 - (a) Scenario Variable Matrix
 - (3) Documentation
 - (a) Situation Manual
 - (i) Examples
 - 1. Agricultural Scenario
 - a. Appendices
 - b. Cover
 - 2. Biological Scenario
 - a. Cover
 - b. Table Of Contents
 - c. Introduction
 - d. Appendices
 - e. Anthrax Modules
 - f. Plague Modules
 - g. Small Pox Modules
 - 3. Chemical Sitman
 - a. Cover
 - b. Table Of Contents
 - c. Introduction

- d. Appendices
 - e. Lewisite Modules
 - f. Sarin Modules
 - 4. Explosive Sitman
 - a. Cover
 - b. Table Of Contents
 - c. Introduction
 - d. Modules
 - e. Appendices
 - 5. Prevention Sitman
 - 6. Radiological Sitman
 - 7. Recovery Sitman
 - a. Cover
 - b. Table Of Contents
 - c. Introduction
 - d. Modules
 - e. Appendices
- (ii) Templates
 - 1. Biological Agent Scenario
- (iii) Presentations
 - 1. Examples
 - a. Agricultural Presentation
 - b. Biological Presentation
 - c. Chemical Presentation
 - d. Explosive Presentation
 - e. Recovery Presentation
 - 2. Templates
- (4) Media/Public Information
 - (a) Public Information/Media Release
- (5) Logistics
 - (a) Room Layouts
 - (b) Badges
 - (c) Nametents
 - (d) Tabletents
 - (e) Invitation
- iii) Conduct
 - (1) Sign-In Sheets
 - (2) Signs
 - (3) Participant Feedback Form
 - (4) Hot Wash/Debrief
- iv) Evaluation
 - (1) After Action Report
 - (a) After Action Report
 - (b) Letter Of Transmittal
 - (2) Exercise Evaluation Guides (EEGs)
 - (3) Lessons Learned/Best Practices

- v) Improvement Planning
 - (1) Improvement Plan
 - (2) After Action Conference
- c) Operations-Based Exercises
 - i) Foundation
 - (1) Master Task List
 - (2) Project Management Timeline
 - (3) Exercise Planning Team
 - (4) Planning Conference Materials
 - (a) Initial Planning Conference (IPC)
 - (b) Mid-Term Planning Conference (MPC)
 - (c) Final Planning Conference (FPC)
 - ii) Design And Development
 - (1) Scope
 - (a) Objectives
 - (b) Participant List
 - (c) Exercise Schedule
 - (2) Scenario
 - (a) Scenario Variable Matrix
 - (3) Documentation
 - (a) Exercise Plan (EXPLAN)
 - (i) Appendices
 - (b) Participant List
 - (c) Chemical Detection Monitor Reads
 - (d) Controller/Evaluator Handbook
 - (e) Control Staff Instructions (COSIN)
 - (f) Evaluation Plan (EVALPLAN)
 - (g) Master Scenario Events List (MSEL)
 - (h) Exercise Evaluation Guides (EEG)
 - (i) Exercise Executive Summary
 - (j) Exercise Schedule
 - (k) Controller/Evaluator List
 - (4) Assembly Area
 - (a) Deployment Timetable
 - (b) Player Information Handbook
 - (5) Actors
 - (a) Actor Waiver Form
 - (b) Actor Information Sheet
 - (c) Moulage Kit
 - (d) Actor Tags/Labels
 - (i) Symptomology Tags (Chemical Agents)
 - 1. Lewisite
 - 2. Sarin
 - 3. VX
 - (e) Hospital/Victim List
 - (6) Media/Public Information

- (a) Public Information/Media Release
 - (b) Public Announcement
 - (c) Media Plan
- (7) Logistics
 - (a) Identification Badges And Labels
 - (i) ID Badges
 - (ii) Labels
 - (b) Sign-In Sheets
 - (c) Signs
 - (d) Invitation
- iii) Conduct
 - (1) Exercise Briefings
 - (2) Activity Logs
 - (3) Participant Feedback Forms
- iv) Evaluation
 - (1) After Action Report
 - (a) AAR
 - (b) Letter Of Transmittal
 - (2) Lessons Learned/Best Practices
 - (3) Exercise And Evaluations Guides (EEG)
- v) Improvement Planning
 - (1) Improvement Plan
 - (2) After Action Conference

IV) Multi-Media Library

- a) Pictures
 - i) Embassy Attacks
 - ii) Emergency Medical Services
 - iii) Fire
 - iv) Hazardous Materials
 - v) Khobar Towers Incident
 - vi) Law Enforcement
 - vii) Oklahoma City Bombing
 - viii) Other
 - ix) September 11, 2001
 - (1) One Year
 - (2) Pennsylvania Site
 - (3) Pentagon – Washington, DC
 - (4) World Trade Center
- b) Sound
 - i) Effects
 - ii) Explosions
 - iii) Guns
 - iv) Sirens
- c) Video

V) References

- a) Acronyms
- b) Definitions
- c) Exercise Training Courses
- d) Federal Exercise Programs
- e) Publications/Manuals
- f) Agent/Hazard Information
 - i) Agent Fact Sheets
 - ii) Detection And Monitoring Readings
- g) Websites

Introduction

Volume IV provides sample exercise documents and formats intended for the exercise planner to use and/or modify when designing and developing exercises. The materials presented in Volume IV are organized in a manner that is consistent with the outline and contents of Volume III:

- Program Management
 - Contains sample materials (i.e., Exercise Plan, Exercise Plan Workshop, Policies, etc.) for developing and managing an exercise program
- Planning
 - Contains sample materials for designing, developing, conducting, and evaluating exercises.
- Multi-media Library
 - Contains video clips, sounds, and pictures that may be inserted into documentation or presentations to add a sense of realism to an exercise.
- References
 - Contains homeland security and emergency management resources such as publications, websites, and acronyms/definitions.

Explanations for many of these materials are contained in HSEEP Volume III. The materials in Volume IV provide the minimum standard for exercise planning documentation. These materials should be modified to tailor the documents to the specific jurisdiction and exercise type, and for enhancement purposes only. When planning and conducting an exercise with U.S. Department of Homeland Security, Office for Domestic Preparedness (USDHS/ODP) funds¹, and in order to ensure accordance with HSEEP, planners should develop and submit materials that are as close to the standard as possible. USDHS/ODP Exercise Program Managers will periodically review these materials to ensure accordance with HSEEP policy and doctrine.

The materials in Volume IV are examples and, with the exception of After-Action Reports/Improvement Plans and Exercise Evaluation Guides, do not have to follow the exact format prescribed within. The State Administrative Agency (SAA), and/or its designated state exercise point of contact, and the USDHS/ODP Exercise Program Manager are responsible for ensuring the materials used in an exercise are in accordance with HSEEP and ultimately fulfill the requirements for exercise USDHS/ODP funding¹.

Some of the materials are provided in both ‘template’ and ‘example’ formats. Template documents are provided in outline format for the user to modify and tailor to their specific needs. Example materials are finished products that demonstrate what a template product may look like when completed. Users may choose the format they are most comfortable with but should be careful when using the example materials (particularly scenario-related materials – i.e., Situation Manual) not to simply ‘fill in the blank’ or ‘copy and paste’ information into the document without ensuring the content is accurate and pertinent.

¹ Refers to ODP funding through either the Homeland Security Grant Program (HSGP) or Urban Area Security Initiative (UASI).

Volume IV includes the following materials that must remain in the same format provided within:

- After-Action Report
- Improvement Plan
- Exercise Evaluation Guides

Other considerations:

- The ‘Master Task Lists’ for both discussion-based (i.e., Seminar, Workshop, Tabletop, Game) and operations-based (i.e., Drill, Functional, Full-Scale) exercises chronologically lists the step-by-step process and action items that need to be accomplished during exercise planning and conduct.
- Many of the documents refer to ‘State’ which may refer to Commonwealth, Territory or Tribal Nation. ‘State’ also refers to the State Administrative Agency (SAA) or its designated agency responsible for exercise administration and coordination. While ODP oversees and administers an Urban Area Security Initiative (UASI), the SAA for the State in which each city is located is ultimately responsible for meeting the requirements outlined in HSEEP, and ensuring its urban areas and local jurisdictions are in accordance with this doctrine.
- These materials are not being disseminated in an effort to design and develop ‘canned’ or ‘boiler-plate’ exercises. The intent of making these documents available to a wide audience is to lessen the burden on exercise planners from designing and developing multiple exercises. Many of these materials, particularly those that present the exercise scenario, should be tailored to reflect the participating or affected jurisdictions or organizations. This will provide realism for the exercise. The success of the exercise will be based on participant actions, whether they are exhibited through discussions or actual response activities. The documents and materials lay the foundation for the exercise, and should drive those participant actions. Therefore it is not necessary to spend an inordinate amount of time creating materials. Ultimately the outcome of an exercise, the value experienced by the participants, and the improvements that result are the elements of utmost importance.
- Many of these materials are based on other proven exercise programs and have been vetted through several organizations, and have gone through numerous iterations and revisions. While it is evident that many of these materials derive from one program, Volume IV is intended to be a compilation of ‘best practice’ materials from a variety of exercise programs.
- The materials in Volume IV will be constantly evolving based on innovative ideas and changing conditions. New, updated and revised materials will be posted to ODP’s Secure Portal. States that wish to submit ideas or documentation they feel are innovative and enhance the planning process for exercises, should submit them through the ODP Portal to the ‘ODP Exercise Division’ (under the Secure Messaging link).

- While the focus of these materials is on terrorism/CBRNE-related incidents, many of them should be adaptable to a variety of scenarios (i.e., natural, technological). The materials should also be adaptable to different types of exercises (i.e., Seminars, Workshops, Tabletops, Games, Drills, Functional Exercises, Full-Scale Exercises). For example, a Situation Manual (SITMAN) is typically associated with the design and development of a Tabletop Exercise. However, a SITMAN should be flexible and adaptable to fit the needs of a Workshop or Seminar as well.
- Recognizing that users possess a variety of computer and software capabilities, electronic versions of Volume IV materials are provided in Microsoft Word and PowerPoint only. Grant funding provided by USDHS/ODP can be used for the purchase of computers and software for exercise planning purposes.
- These materials are intended for users of varying levels of exercise experience.
- As these materials are being disseminated on behalf the U.S. Department of Homeland Security and its partner agencies, the processes and documents should be adaptable to other Federal Agency-sponsored exercise programs (e.g., CDC, FEMA, TSA).
- Many of the materials contain note boxes that include short descriptions and/or instructions for using the respective document.

For Official Use Only (FOUO)/Sensitive Information

The information and materials contained within Volume IV are not considered sensitive in nature. However, some materials (e.g., scenario examples) may necessitate confidential restrictions. Exercise materials that are produced in accordance with HSEEP guidance and are deemed sensitive should be designated as “For Official Use Only” (FOUO). FOUO is not a classification but it does make clear to participants that the material is sensitive and should be handled with care. Examples of materials that may require FOUO designations include: After-Action Reports (AARs), Improvement Plans (IPs), Master Scenario Event Lists (MSELs), and scenario information.